

IN THE U.S. PATENT AND TRADEMARK OFFICE

In re Application of: GROSS, et al.)

Serial Number: 10/066,375)

Examiner: MEDINA-SANABRIA

Filed: 01/29/02)

Group Art Unit: 1754

For: DIRECT SYNTHESIS OF)

CATALYZED HYDRIDE COMPOUNDS)

Attorney Docket Number: SD-8355)

Commissioner for Patents

Washington, D. C. 20231

JANUARY 30, 2004

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §1.97

Sir:

Listed below on the attached Form PTO-1449 is information known to the Applicants. A copy of each of the listed publications is submitted herewith along with a concise explanation of information in a foreign language, if any, pursuant to 37 CFR §§1.97 and 1.98.

Applicant respectfully requests that the listed information be considered by the Examiner and be made of record in the above-identified application. Examiner is further requested to initial and return attached Form PTO-1449 in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

[] This statement is filed under 37 CFR §1.97, subsection (b) because the submission was filed:

[] within three months of the filing date of a national application other than a continued prosecution application under §1.53(d); OR

[] before the mailing date of the first Official Action on the merits, whichever comes last; OR

FILE

02/20/2004 SSITHBI 00000094 500583 10066375
01 FC:1806 180-09 DA

☐ before the mailing date of the first Official Action on the merits after the filing of a request for continued examination under §1.114.

☒ This statement is filed under 37 CFR §1.97, subsection (c), because the submission was made AFTER the latest of (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; OR (3) after the mailing date of a first Official Action on the merits, but BEFORE the mailing date of the earlier of a final Official Action under §1.113 or a Notice of Allowability under §1.311, or any other action that otherwise closes prosecution in the application AND is accompanied by one of either:

☐ a statement under §1.97(e); OR

☒ the fee required under 37 CFR §1.17(p).

☐ This statement is filed under 37 CFR §1.97, subsection (d), because the submission was made AFTER the mailing date of the Final Action §1.113 or a Notice of Allowability under §1.311 but BEFORE payment of the Issue Fee. This statement is, therefore, accompanied by :

☐ a statement as specified under §1.97(e); AND

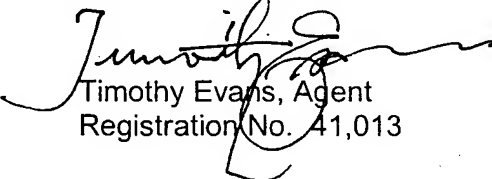
☐ the fee required under 37 CFR §1.17(p).

☒ The Commissioner is hereby authorized to charge Deposit Account No. 50-0583 in the amount of \$180.00, or the amount which is currently applicable. Fee sheet PTO/SB/17 and a duplicate copy of that paper is attached.

☒ The Commissioner is hereby authorized to charge any underpayment of any additional fees or credit any overpayment associated with this communication to Deposit Account No. 50-0583

Respectfully submitted by,

SANDIA NATIONAL LABORATORIES


Timothy Evans, Agent
Registration No. 41,013

P.O. Box 969, MS 9031
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Telephone (925) 294 - 3690

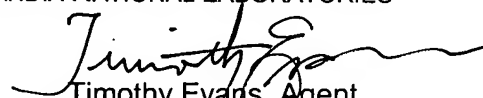
time for the Examiner to fully consider all information in the present application which the Applicants consider to be relevant.

Therefore, the Applicants respectfully requests that the listed information be fully considered by the Examiner and be made a part of the record in the above-identified application. The Examiner is further respectfully requested to initial and return the attached Form PTO-1449 in accordance with MPEP §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

Respectfully submitted by,

SANDIA NATIONAL LABORATORIES

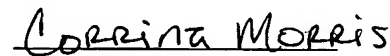

Timothy Evans, Agent
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Certificate of Mailing Under 37 CFR §1.8

I hereby certify that this Correspondence and documents referred to herein were deposited with the United States Postal Service as first class mail addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

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Corrina Morris
Person Making Deposit


Signature



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Jenna Madril
Person Making Deposit

Jenna Madril
Signature

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PTO/SB/17 (12-99)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL FOR FY 2004

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement.
Other large entity fees must be paid. See Forms PTO/SB/09-12.

TOTAL AMOUNT OF PAYMENT (\$180.00)

Complete if Known

Application Number	10/066,375
Filing Date	01/29/02
First Named Inventor	GROSS
Examiner Name	MEDINA-SANABRIA
Group / Art Unit	1754
Attorney Docket No.	SD-8355

METHOD OF PAYMENT (check one)

The Commissioner is hereby authorized to charge

1. ☒ indicated fees and credit any over payments to:

Deposit Account Number 50-0583

Deposit Account Name SNL by KCO

☒ Charge Any Additional
Fee Required Under
37 CFR 1.16 and 1.17

2. Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) \$

2. EXTRA CLAIM FEES

	Extra Claims	Req. Fee	Fee Paid
Total Claims	0	-20**= 0	X 18 = 0.0
Independent Claims	0	-3**= 0	X 86 = 0.0
Multiple Dependent	0		= 0.0

**or number previously paid, if greater; For Reissues, see below.

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
1201	86	2202	43	Independent claims in excess of 3
1202	18	2201	9	Claims in excess of 20
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$0.00)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840	1805	1,840	Requesting publication of SIR after Examiner	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	138	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Petitions related to provisional applications	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
Other fee (specify)					
Other fee (specify)					

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$180.00)

SUBMITTED BY

Name (Print/Type) Timothy P. Evans

Signature

Complete (if applicable)

Reg. Number (Attorney/Agent) 41,013

Telephone (925) 294-3690

Date

1/30/2004

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patent, Washington, DC 20231.

COPY

Form PTO-1449 (SNL-Modified) (2-91)
List of Patents and Publications
for Applicant's
Information Disclosure Statement

(use several sheets if necessary)



Atty Docket No: SD-8355
Serial Number: MEDINA
GROUP: 1754
Applicant: GROSS, et al.

FILING DATE: 01/29/02

REFERENCE DESIGNATION

Ex'r		U.S. Patent Documents			Sub	
Init		Document No.	Date	Name	Class	Filing Date (when applicable)

AA
AB
AC

Ex'r		Foreign Patent Documents			Sub	Translation?
Init		Document No.	Date	Name	Class	Yes No

BA |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

- CA Balema, V.P.; Pecharsky, V.K.; Dennis, K.W.; "Solid state phase transformation in LiAlH₄ during high-energy ball-milling", *Journal of Alloys and Compounds*, v.313 pp. 69 – 74, (2000)
- CB Balema, V.P.; Wiench, J.W.; Dennis, K.W.; Pruski, M.; Pecharsky, V.K.; "Titanium catalyzed solid-state transformations in LiAlH₄ during high-energy ball-milling", *Journal of Alloys and Compounds*, v.313 pp. 108 – 114, (2001)

Examiner:

Date Considered:

Serial #: 10/066,375 Docket # SD-8355 By: GROSS
Filing Date: 01/29/2002
In the Matter of the Application of: DIRECT SYNTHESIS OF CATALYZED
HYDRIDE COMPOUNDS

The following has been received in the U. S. Patent & Trademark Office,
on the date stamped hereon:

Utility Patent Application (☐ Provisional ☒ Non-Provisional)

<input type="checkbox"/> Specification <input type="checkbox"/> Pages	<input type="checkbox"/> Preliminary Amendment
<input type="checkbox"/> Express Mail Label No. _____	<input type="checkbox"/> Response and Amendment
<input type="checkbox"/> Power of Attorney/Declaration <input type="checkbox"/> Pages	<input type="checkbox"/> Extension of Time Request
<input checked="" type="checkbox"/> Fee Transmittal Sheet	<input type="checkbox"/> Affidavit
<input type="checkbox"/> Formal Drawings <input type="checkbox"/> FIGs. / <input type="checkbox"/> Sheets.	<input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Assignment Cover Sheet	<input type="checkbox"/> CPA Cover Sheet
<input type="checkbox"/> Assignment(s)	<input type="checkbox"/> Provisional Cover Sheet
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Issue Fee Transmittal
<input type="checkbox"/> Non Publication Request	<input type="checkbox"/> RCE Cover Sheet Transmittal
<input checked="" type="checkbox"/> Other: Copies of Cited References	<input type="checkbox"/> Maintenance Fee Transmittal